

424 Rec'd PCT/PTO 26 MAY 2000. #3

FORM PTO-1390  
REV. 5-93US DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTORNEYS DOCKET NUMBER  
**P00,0760****TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO (if known, see 37 CFR 1.5)

**09/555295**INTERNATIONAL APPLICATION NO.  
**PCT/DE98/03254**INTERNATIONAL FILING DATE  
**06 NOVEMBER 1998**PRIORITY DATE CLAIMED  
**28 NOVEMBER 1997**

TITLE OF INVENTION

**METHOD FOR ADJUSTING THE TILTING AND THE LEVEL OF OPTICAL SIGNALS**

APPLICANT(S) FOR DO/EO/US

**ERICH GOTTWALD**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay.
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of International Application as filed (35 U.S.C. 371(c)(2)) -drawings attached.
  - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2) - drawings attached.
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. §371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☒ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11. to 16. below concern other document(s) or information included:**

11. ☒ An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98; **(PTO 1449, Prior Art, Search Report).**
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.  
**(SEE ATTACHED ENVELOPE)**
13. ☒ Amendment "A" prior to action.  
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:
  - a. ☒ Request for approval of drawing changes, **3 sheets of drawings (Figs. 1-10).**
  - b. ☒ **Abstract Replacement Page 18**
  - c. ☒ **EXPRESS MAIL # EL 544622736US dated May 26, 2000.**

U.S. APPLICATION NO. (If known, use 37 C.F.R. 1.51)

09/55529

INTERNATIONAL APPLICATION NO.

PCT/DE98/03254

ATTORNEY'S DOCKET NUMBER

00,0760

17. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 C.F.R. 1.492(a)(1)-(5):**

Search Report has been prepared by the EPO or JPO ..... \$840.00

International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) .. \$670.00

No international preliminary examination fee paid to USPTO (37 C.F.R. 1.482) but  
international search fee paid to USPTO (37 C.F.R. 1.445(a)(2)) ..... \$760.00Neither international preliminary examination fee (37 C.F.R. 1.482) nor international  
search fee (37 C.F.R. 1.445(a)(2)) paid to USPTO ..... \$970.00International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) and all  
claims satisfied provisions of PCT Article 33(2)-(4) ..... \$ 96.00**ENTER APPROPRIATE BASIC FEE AMOUNT =**

CALCULATIONS

PTO USE ONLY

\$ 840.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months  
from the earliest claimed priority date (37 C.F.R. 1.492(e)).

\$

Claims

Number Filed

Number  
Extra

Rate

Total Claims

31 - 20 =

11

X \$ 18.00

\$ 198.00

Independent Claims

05 - 3 =

02

X \$ 78.00

\$ 156.00

Multiple Dependent Claims

\$260.00 +

\$

**TOTAL OF ABOVE CALCULATIONS =**

\$ 1194.00

Reduction by ½ for filing by small entity, if applicable. Verified Small Entity statement must also  
be filed. (Note 37 C.F.R. 1.9, 1.27, 1.28)

\$

**SUBTOTAL =**

\$ 1194.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30 months  
from the earliest claimed priority date (37 CFR 1.492(f)).

\$

+

**TOTAL NATIONAL FEE =**

\$ 1194.00

Fee for recording the enclosed assignment (37 C.F.R. 1.21(h). The assignment must be  
accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property

+

**TOTAL FEES ENCLOSED =**

\$ 1194.00

Amount to be  
refunded

\$

charged

\$

a. ☒ A check in the amount of \$ 1194.00 to cover the above fees is enclosed.b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees. A  
duplicate copy of this sheet is enclosed.c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
overpayment to Deposit Account No. 08-2290. A duplicate copy of this sheet is enclosed.NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b)) must be  
filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Hill & Simpson  
A Professional Corporation  
85th Floor Sears Tower  
Chicago, Illinois 60606

SIGNATURE

Steven H. Noll

NAME

28,982

Registration Number

BOX PCT  
IN THE UNITED STATES ELECTED OFFICE  
OF THE UNITED STATES PATENT AND TRADEMARK OFFICE  
UNDER THE PATENT COOPERATION TREATY-CHAPTER II

5 APPLICANT(S): ERICH GOTTWALD DOCKET NO: P00,0760  
SERIAL NO: GROUP ART UNIT:  
EXAMINER:

INTERNATIONAL APPLICATION NO: PCT/DE98/03254  
INTERNATIONAL FILING DATE: 06 NOVEMBER 1998

10 INVENTION: **METHOD AND APPARATUS FOR ADJUSTING  
TILTING AND LEVEL OF OPTICAL SIGNALS**

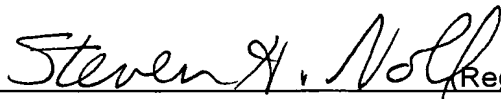
Assistant Commissioner for Patents,  
Washington, D.C. 20231

**REQUEST FOR APPROVAL OF DRAWING CHANGES**

15 Dear Sir:

The Applicants respectfully request consideration and approval of drawing changes made to Figures 3 and 5-10, marked in red and included herewith. These changes have been made to label previously unlabeled blocks within these Figures in order to conform with U.S. Patent practice.

20 Respectfully submitted,

  
(Reg. No. 28,982)

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Attorneys for Applicant

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09/555295

424 Rec'd PCT/PTO 26 MAY 2000  
CERTIFICATE OF MAILING BY EXPRESS MAIL

**Express Mail Mailing Label Number EL 544622736US**

**Date of Deposit: MAY 26, 2000**

I hereby certify that this correspondence is being deposited with the United States Postal "Express Mail Post Office to Addressee" service under 37 CFR 1.10(c) on the date indicated above and is addressed to:

**BOX PCT  
Assistant Commissioner for Patents  
Washington DC 20231**

**Case Number: P00,0760  
Applicant(s): ERICH GOTTWALD**

**International Application No. PCT/DE98/03254  
International Filing Date 06 November 1998  
Priority Date Claimed 28 November 1997**

**Title: Method for Adjusting the Tilting and the Level of Optical Signals**

**Enclosed are the following documents:**

International application as filed, drawings attached;  
English translation, drawings attached;  
Annexes;  
Executed Declaration;  
PTO 1390 in duplicate;  
Amendment "A" prior to action;  
Information Disclosure Statement; PTO 1449, Search Report, References;  
Request for approval of drawing changes, 3 sheets of drawings, Figs. 1-10;  
Abstract Replacement Page, page 18;

**Fee: \$ 1194.00  
Postcard**

**(See attached envelope for Executed Assignment;  
PTO 1595; \$40.00 filing fee; Postcard)**



Signature of person mailing documents and fees